



This schedule applies to: Department of Ecology

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Ecology relating to the unique functions of preserving, enhancing, and managing the air, land, and water resources of the state. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation and must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW and must be managed in accordance with the agency’s policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Department of Ecology are revoked. The Department of Ecology must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on September 5, 2012.

Signature on File

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REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	March 14, 2012	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	June 6, 2012	Revision of Air Quality and Water Resources sections with other minor revisions.
1.2	September 5, 2012	Revision of Nuclear Waste Program and Legacy Records sections with other minor revisions.

For assistance and advice in applying this records retention schedule,
please contact the Department of Ecology's Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov



TABLE OF CONTENTS

1.	AGENCY MANAGEMENT	5
1.1	FISCAL – OFFICE 147.....	5
1.2	RULES AND ACCOUNTABILITY – OFFICE 175.....	6
2.	ENVIRONMENTAL PROGRAMS - ALL	7
3.	AIR QUALITY PROGRAM (AQ) – OFFICE 230.....	10
4.	ENVIRONMENTAL ASSESSMENT PROGRAM (EAP) – OFFICE 330	14
5.	HAZARDOUS WASTE AND TOXICS REDUCTION PROGRAM (HWTR) – OFFICE 430	17
6.	NUCLEAR WASTE PROGRAM (NWP) – OFFICE 460	19
7.	SHORELANDS AND ENVIRONMENTAL ASSISTANCE PROGRAM (SEA) – OFFICE 420.....	20
8.	SPILL PREVENTION, PREPAREDNESS AND RESPONSE PROGRAM (SPPR) – OFFICE 800	25
9.	TOXICS CLEANUP PROGRAM (TCP) – OFFICE 440	27
10.	WASTE 2 RESOURCES (W2R) – OFFICE 450	29
11.	WATER QUALITY PROGRAM (WQ) – OFFICE 525.....	32



12. WATER RESOURCES PROGRAM (WR) – OFFICE 530 38

LEGACY RECORDS 43

GLOSSARY 45

INDEXES 48



1. AGENCY MANAGEMENT

This section covers agency-unique records related to agency administrative activities.

1.1 FISCAL – Office 147

This section covers agency-unique records related to delivering useful and timely financial information to all levels of agency management.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03953 Rev. 4	Contracts and Grant File A working file, used to verify payment and balances of contracts and contains contracts, working data, copies of vouchers processed.	Retain for 10 years after termination of contract <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-12-51705 Rev. 0	Paid Penalty Documents Includes: the original penalty, any appeals, court judgments, delinquent letters, and the cashing receipts.	Retain for 6 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-12-51709 Rev. 0	State and Federal Cleanup Site Files Original payment documents (warrant register, journal vouchers, expenditure CJ's), time sheets, time reports, ARS MWP 24ON reports, revenue CJ's and super index code requests pertaining to clean-up sites. Site logs, auto logs, and contracts associated with sites. Leaking underground storage tank sites (LUST), superfund sites and state clean-up sites.	Retain for 20 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



1.2 RULES AND ACCOUNTABILITY – Office 175

This section covers agency-unique records related to coordinating rulemaking, economic analysis and enforcement tracking.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-09-62318 Rev. 0	Cost-Benefit Analysis and Small Business Economic Impact Statements Cost-Benefit Analysis and Small Business Economic Impact Statements used for rules development and analysis of other agency activities, including lifecycle analysis fee and revenue forecasting. Contains reports, analysis, data, significant drafts, etc. copies of reports are also kept with the records for specific projects and activities.	Retain for 6 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03821 Rev. 1	Enforcement Dockets Contains penalties, orders, Notice of Violations (NOV), Pollution Control Hearings Board (PCHB) correspondence and recommendations for enforcement actions.	Retain for 10 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM
10-09-62317 Rev. 0	Rule Making Docket and Semi-Annual Agendas Rule Docket records include a master listing of rules adopted or under development indexed by Administrative Order Number as required by law. Semi-Annual Rules Development Agenda lists agency rules under development and copies of correspondence notifying interested persons on record as required by law.	Retain for 10 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



2. ENVIRONMENTAL PROGRAMS - ALL

This section covers agency-unique records common to Ecology's ten environmental programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90-08-46516 Rev. 2	<i>Ecology and Environmental Protection Agency Performance Partnership Agreement Development</i> Records documenting the development of annual and biennial work plans and annual agreements with EPA for all Ecology environmental program areas.	Retain for 10 years after end of agreement or plan <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62678 Rev. 0	<i>Ecology and Environmental Protection Agency Performance Partnership Agreement Implementation</i> Records documenting the implementation of the annual and biennial work plans and annual agreements with EPA within each of the Ecology environmental program areas.	Retain for 10 years after end of agreement or plan <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
88-03-41887 Rev. 3	<i>Ecology Complaints, Response, and Enforcement Actions</i> Records documenting Ecology's response to complaints, reports, investigations, incidents and enforcement actions taken by any Ecology Environmental Program areas. Records cover all complaints & requests for response and all follow up actions, through to formal enforcement and penalty if necessary. Records may include complaint or report, correspondence, investigations, photos, samples, lab tests and reports, interviews, reports, negotiation, recommendations for enforcement action, court and legal documents, penalties issued through to compliance actions. Records exist in paper and electronic form including the Environmental Response Tracking System (ERTS).	Retain for 20 years after incident resolved <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62680 Rev. 2	<i>Ecology Environmental Assessment Studies and Projects</i> Records documenting studies and projects completed for the assessment of Washington's environmental condition. Projects and studies include Total Maximum Daily Load (TMDL) projects as well as non-TMDL projects and studies administered through multiple programs and multiple funding sources. Records may include planning documents, Quality Assurance Project Plan, work memos, IT Project Plan, field notes, project data and analysis, significant drafts and final reports, peer and client review and acceptance. Records exist in paper and electronic form. This series does not include: Grant management or Interagency Agreement documentation. Final Publications and their development records follow GS 15008 and GS 15005.	Retain for 25 years after completion of project or publication <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
98-11-58963 Rev. 3	<i>Ecology Fees, Generator Fees, Planner Fees and Permit Fees</i> Records documenting the fees paid by businesses relating to any Ecology-regulated function. Fees may be for generating hazardous waste, planning or permits. Records include invoices and payment received.	Retain for 6 years after end of fee period <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62679 Rev. 2	<i>Ecology Inventory and Monitoring of Washington Air, Waters, and Shorelands</i> Records documenting the ongoing inventory and monitoring of Washington state's air quality (including emissions), various fresh and marine waters, and shoreland condition. Records may include field notes, project data, analysis and summaries, technical memos, press releases, significant drafts and final reports. Final Publications and their development records, if created, follow GS 15008 and GS 15005.	Retain for 25 years after date of final report or publication <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62682 Rev. 1	<i>Ecology Laboratory and Quality Assurance Plans, Manuals and Standard Operating Procedures</i> Records documenting the development and implementation of various plans, manuals, and standard operating procedures required for operating environmental laboratories and scientific practices. Plans or manuals include, but are not limited to: Health and Safety, Chemical Hygiene and Quality Assurance. Records may include final plans and manuals, review and approval processes, significant drafts if created, and documentation of individual plan or manual requirements such as auditing, testing, and reporting.	Retain for 6 years after end of revision of plan or document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
93-01-51921 Rev. 2	<i>Ecology Technical Assistance and Consultation</i> Records documenting Ecology's routine, non-binding technical assistance and consulting across the agency in multiple subject areas, including any environmental law, rule, policy, procedure, interpretations and guidance. Official public records when created are captured in the official processes of the managing program. Records may include correspondence and miscellaneous notes.	Retain for 5 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



3. AIR QUALITY PROGRAM (AQ) – Office 230

This section covers agency-unique records related to protecting, preserving and enhancing the air quality of Washington State.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-01-49692 Rev. 3	<i>Air Quality Agricultural and Outdoor Burn Permits</i> Records documenting the burn permit process, including agricultural burning permits and outdoor burning permits such as land clearing, habitat or fire training. Records may include: applications, permits, fees, inspection and compliance.	Retain for 6 years after end of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
96-04-56624 Rev. 1	<i>Air Quality Agricultural Burn Authority Delegated to Counties</i> Records documenting the process of delegating agricultural burn permit authority to county governments. Records may include: delegation orders, correspondence, public meeting notices and comments and auditing for compliance.	Retain for 6 years after order reissued/cancelled <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
92-06-50759 Rev. 1	<i>Air Quality Agricultural Burn Permit Smoke Management</i> Records documenting daily smoke management decisions made by the Eastern Washington Burn Team. As required by court settlement agreement, the Team makes a daily burn/no-burn decision for agricultural burning permit holders. Records may include: daily current and forecasted air quality conditions, burn decisions, correspondence and notices to citizens.	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-06-68254 Rev. 0	<i>Air Quality Agricultural Burning Practices and Research Task Force</i> Records documenting the Agricultural Burning Practices and Research Task Force. The Task Force is a stakeholder group authorized to set fees, design best management practices and conduct research. Records may include: meeting minutes, standards and fee development, significant drafts and final documents.	Retain for 6 years after superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-06-68255 Rev. 0	<i>Air Quality Emissions and Department of Licensing Vehicle Implementation</i> Records documenting the monitoring of Department of Licensing's vehicle registration records to ensure vehicle models (2009 and newer) registered in the state are in compliance with vehicle emission standards (also known as "Clean Cars"). Records may include: suspicious data, correspondence and certificates of compliance from manufacturers. Enforcement records if created are captured under DAN 88-03-41887.	Retain for 10 years after review of data <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-06-68256 Rev. 0	<i>Air Quality Emissions and Vehicle Manufacturers</i> Records documenting the annual reports submitted by vehicle manufacturers which identify how they met or fell short of meeting emissions standards (also known as "Clean Cars"). Records may include: annual reports, review calculations and correspondence. If a manufacturer fell short of meeting the standards, records may also include: plans for how they will meet the standards and monitoring. Enforcement records if created are captured under DAN 88-03-41887.	Retain for 10 years after end of reporting cycle <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-03-03895 Rev. 2	<i>Air Quality Emissions Authorized Service Providers</i> Records documenting the training, testing and authorization of emissions service providers (emissions specialists) for auto mechanics and private fleets in the State of Washington. Records may include: training attendance records, test scores, authorization, auditing and inspection of auto shops.	Retain for 6 years after end of Emissions Program <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-06-68257 Rev. 0	<i>Air Quality Permits, Limited Term Air Operating Permits</i> Records documenting Air Operating Permits (AOP) for businesses and industries that are the largest sources of air pollution, such as portable sources and non-road engines. These permits have a limited term and require renewal every 5 years. Records may include: pre-application review, application, post application reviews, notice of completeness, significant permit drafts, public notice, hearing, review and comment, approval or denials, final permits, inspection reports, monitoring, fees, audits, compliance and correspondence.	Retain for 7 years after end of permit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
92-06-50756 Rev. 3	<i>Air Quality Permits, Perpetual Term</i> Records documenting multiple types of Air Quality Permits with a term that exists in perpetuity because they do not expire, such as Prevention of Significant Deterioration (PSD), Notice of Construction (NOC), New Source Review (NSR), and General Orders for NSR. Permits cover permanent, temporary and portable facilities regulated under state and federal air pollution law. Records may include: review of applicability, pre-application processes, application and review, technical support, modeling information, public notices, hearings and comments, approvals or denials, permits, orders, inspection reports, monitoring, fees, audits, compliance, and correspondence.	Retain for 7 years after life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-06-68258 Rev. 0	<i>Air Quality Small Source Registration Program</i> Records documenting the registration of small pollution sources or periodic air pollution sources. Records may include: registration documents and inspections.	Retain for 6 years after life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-03-47446 Rev. 2	<i>Air Quality State Implementation Plans</i> Records documenting multiple state air quality management plans which describe how the state implements, maintains, and enforces the Federal Clean Air Act and National Ambient Air Quality Standards (NAAQS). Plans may include the State Implementation Plan (SIP), State Regional Haze Management Plan and Natural Event Action Plan. Records may include: reviews, studies and data analysis, maps, correspondence, external review and comments, significant drafts, final plans and supplemental plans. Ref. RCW 70.94 and WAC 173-400.	Retain for 10 years after plan revised or superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



4. ENVIRONMENTAL ASSESSMENT PROGRAM (EAP) – Office 330

This section covers agency-unique records related to measuring and assessing environmental condition in Washington State and providing credible science to guide environmental choices.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-06-47866 Rev. 1	<i>Environmental Assessment Accreditation of Washington Laboratories by Ecology</i> Records documenting the accreditation of environmental laboratories doing business in Washington. Records may include: applications with attachments such as Quality Assurance Manual, Standard Operating Procedures, Proficiency Testing, data packages, etc., correspondence, Department of Health notifications if testing drinking water, audits by Ecology, checklist, notes and audit report, issuance of certification and scope of accreditation, requests for revising scope, and associated review and approval process documentation. Fee payment documentation is managed according to GS 01016 but copies are also kept in Lab Folders along with any records related to payment correction problems. Enforcement action records, if created are managed according to 88-03-41887.	Retain for 8 years after certification issued <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
91-06-47865 Rev. 2	<i>Environmental Assessment Quality Assurance Management Plan</i> Records documenting the quality assurance process in Ecology which provides oversight of the scientific process across the agency. Records may include: review of last plan, significant drafts, review and approval by the agency and EPA, final plans, Quality Management Reports and the review and approval of an environmental program's Quality Assurance Project Plan (QAPP). This process is separate from the one used for Ecology Laboratory and Quality Assurance Plans, Manuals and Standard Operating Procedures DAN 11-08-62682. Final Plans also follow Final Publications and their development records follow GS 15008 and GS 15005.	Retain for 6 years after date plan published <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62681 Rev. 0	<i>Manchester Environmental Laboratory Hazardous Waste Permit Implementation</i> Records documenting the implementation of the Hazardous Waste Permit for the Manchester Environmental Laboratory and handling of dangerous and hazardous waste from the facility. Records may include the permit issued by Ecology's Hazardous Waste and Toxics Reduction program, waste disposal records, audit and self-audit processes and reporting as needed.	Retain for 6 years after end of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-03-03943 Rev. 2	<i>Manchester Environmental Laboratory Instrument Files and Log Books</i> Records are Log Books created through the process of using each piece of equipment at the Manchester Environmental Laboratory. Log books contain documentation of every sample analyzed and the method by which the sample was analyzed.	Retain for 10 years after life of instrument <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
91-06-47880 Rev. 1	<i>Manchester Environmental Laboratory Project Files and Reports</i> Records documenting the laboratory analysis and reporting of results to clients for any type of sample submitted. Records may include sample's chain of custody, notes, communications, tests, analysis, summary of results and reports to client.	Retain for 6 years after results accepted by client <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62683 Rev. 1	<i>Manchester Environmental Laboratory Radiation Safety Records</i> Records documenting the receipt, use, storage, transfer or disposal of radiation sources at the Manchester Environmental Laboratory. Records may include: the Radiation Protection Plan and those records required as a provision of the plan to control and document all radioactive material owned by the Lab, such as receipts or forms for delivery, repair, return or disposal, relinquishment of Ownership Certificate, wipe test documentation, inventory reports, notifications and correspondence. Series does not include audit documentation which is retained according to GS 04001 Audit Documentation and Working Papers. (Record series is a permanent record on site due to the shelf-life and long term legal requirements for handling radioactive materials.)	Retain for 30 years after termination of license <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



5. HAZARDOUS WASTE AND TOXICS REDUCTION PROGRAM (HWTR) – Office 430

This section covers agency-unique records related to reducing the use of toxic chemicals, finding safer alternatives to toxic chemicals and ensuring that dangerous wastes are managed and disposed of safely.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90-08-46509 Rev. 2	<i>Hazardous Waste and Toxics Reduction Emergency Planning and Community Right-To-Know Act</i> Records documenting the type, quantity and storage of hazardous substances from facilities for the Emergency Planning and Community Right-To-Know Act. Records include various forms submitted in paper or electronic format used to generate annual reports.	Retain for 6 years after end of reporting year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
90-08-46508 Rev. 4	<i>Hazardous Waste and Toxics Reduction Hazardous Waste Reporting</i> Records documenting the yearly reporting of dangerous waste activities from toxic generators and waste management facilities used to create annual and biennial reports to the federal Environmental Protection Agency and the State Office of Financial Management. Records include forms submitted in paper or electronic form.	Retain for 9 years after end of reporting period <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62676 Rev. 0	<i>Hazardous Waste and Toxics Reduction Local Source Control Program</i> Records documenting Local Source Control activities for small businesses that generate small quantities of dangerous waste. Records include contracts, technical assistance, training, inspection and compliance.	Retain for 6 years after end of contract <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-10-26104 Rev. 5	<i>Hazardous Waste and Toxics Reduction Permits</i> Records documenting the issuance of permits for facilities which treat, store or dispose of hazardous waste. Records may include applications, reviews, photographs, significant drafts, public review and comments, final permit and any modifications, reporting, financial assurance monitoring, compliance and corrective action if needed.	Retain for 30 years after permit closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
92-03-49959 Rev. 3	<i>Hazardous Waste and Toxics Reduction Pollution Prevention Plans</i> Records documenting Toxics Reduction Pollution Prevention Plans for facilities generating or handling medium to large quantities of toxics. Records may contain plans, correspondence, reviews, photographs, and approval for adequacy, inspections, progress reports and dangerous waste reports.	Retain for 15 years after end of plan <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



6. NUCLEAR WASTE PROGRAM (NWP) – Office 460

This section covers agency-unique records related to oversight of the U.S. Department of Energy's Hanford cleanup activities, ensure sound management of mixed hazardous wastes in Washington State and protecting the state's air, water and land adjacent to the Hanford site.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68295 Rev. 0	<i>Nuclear Waste Program Hanford Site Agreements and Consent Decree Development</i> Records documenting the development and update of agreements or consent decree at the Hanford nuclear waste facility. Records may include: significant drafts and final agreements, reviews, correspondence, public comments, etc.	Retain for 50 years after agreement superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
91-09-48122 Rev. 2	<i>Nuclear Waste Program Hanford Site Agreements and Consent Decree Implementation</i> Records documenting Ecology's Implementation of multiple agreements and the Consent Decree at the Hanford nuclear waste facility, including the Tri-Party Agreement, land leases, Perpetual Care Agreements contract with the Energy Facility Site Evaluation Council (EFSEC) as well as the federal Administrative Record for each. Records may include agreements, correspondence, reviews, work plans, corrective measures, etc.	Retain for 50 years after end of agreement <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



7. SHORELANDS AND ENVIRONMENTAL ASSISTANCE PROGRAM (SEA) – Office 420

This section covers agency-unique records related to working in partnership with communities to support healthy watersheds and promoting statewide environmental interest, including Coastal Zone Management (CZM), Federal Permitting, Floods and Floodplain Management, Ocean Resources, Office of Regulatory Assistance, Padilla Bay National Estuarine Research Reserve, Shoreline Management, State Environmental Policy Act (SEPA), Washington Conservation Corps (WCC), Watersheds and Wetlands.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-03-68222 Rev. 0	<i>Governor's Office of Regulatory Assistance Call Center Technical Assistance</i> Records documenting the Governor's Office of Regulatory Assistance call center, managed in Ecology, which assists the public with any governmental regulation, license or permit requirements. Assistance is routine and non-binding and any official public records are captured by the official permit, licensing or approval process in the managing agency. Records may include correspondence and miscellaneous notes.	Retain for 2 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
12-03-68223 Rev. 0	<i>Governor's Office of Regulatory Assistance Project Management Consultation</i> Records documenting the facilitation and/or mediation of projects by the Governor's Office of Regulatory Assistance, managed in Ecology, which assists the public with any governmental regulation, license or permit requirements. Assistance is routine and non-binding and any official public records are captured by the official permit, licensing or approval process in the managing agency. Records may include correspondence and miscellaneous notes.	Retain for 2 years after end of project <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-03-68224 Rev. 0	<i>Shorelands and Environmental Assistance Aerial Flight Projects</i> Records documenting shoreland condition across the state of Washington. Records contain aerial photograph prints and film.	Retain for 50 years after date of flight <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
80-10-26100 Rev. 5	<i>Shorelands and Environmental Assistance Grants and Contracts</i> Records documenting Shorelands and Environmental Assistance funded grants and contracts for Coastal Zone Management (CZM), Shoreline Management Act (SMA), Watershed Planning Act and Coastal Protection-Terry Husseman Account. Records may contain: copies of the grant or contract agreement, invoice vouchers, financial summaries, project completion reports and related correspondence.	Retain for 15 years after end of agreement <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-03-68225 Rev. 0	<i>Shorelands and Environmental Assistance Local Noise Ordinances</i> Records documenting Ecology's review and approval of local government noise ordinances and zoning which sets limits for when noise becomes pollution. Records may include: correspondence, copies of ordinance or zoning documents, reviews against regulations, and approvals. RCW 70.107 and 46.09.	Retain for 10 years after date of approval <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03914 Rev. 5	<i>Shorelands and Environmental Assistance Shoreline Management Act Permits</i> Records documenting Ecology's review and approval (or denial) of each Substantial Development Permit, Conditional Use Permit & Variance documents generated by local governments under the Shoreline Management Act. Records may include: local permit applications, data sheets, project descriptions, site and construction plans, staff analyses, hearing reports, approval or denials, and documents generated if appealed with the Shoreline Hearings Board, Growth Management Hearings Board or Court Appeals. Ref.: RCW 90.58 Shoreline Management Act of 1971 and WAC 173-27.	Retain for 15 years after filing date <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03883 Rev. 3	<i>Shorelands and Environmental Assistance Shoreline Master Programs</i> Records documenting Ecology's review and approval (or denial) of each local government's Shoreline Master Program which is the program that governs local land use policies and regulations to manage shoreline use under the Shoreline Management Act. Records may include environmental inventories and characterizations, environmental studies and reports, correspondence, public comments and hearing records, environment designation maps, findings and conclusions, and approval and disapproval letters, and documents generated if appealed with the Shoreline Hearings Board, Growth Management Hearings Board or Court Appeals.	Retain for 25 years after approved by Ecology <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-03-50013 Rev. 2	<p><i>Shorelands and Environmental Assistance State Environmental Policy Act (SEPA) Register and Related Documents</i></p> <p>Records documenting the statewide State Environmental Policy Act (SEPA) Register and documents submitted from all Lead Agencies (state and local governments). SEPA is a state policy that requires state and local agencies to consider the likely environmental consequences of a proposal before approving or denying the proposal. Records may include: the Environmental Checklist, comment letters, Determination of Non-Significance (DNS), Mitigated Determination of Non-Significance (MDNS), Determination of Significance (DS)/scoping notices, Environmental Impact Statements (EIS), amendments, Notice of Action Taken and other related documents. Also, includes documents related to the National Environmental Policy Act (NEPA) and local government rules and ordinances, if they are received by Ecology, and Ecology's comments and correspondence for those proposals.</p>	<p>Retain for 20 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>
86-01-35944 Rev. 2	<p><i>Shorelands and Environmental Assistance Washington Conservation Corps (WCC) Members</i></p> <p>Records documenting personnel enrolled in the federal Washington Conservation Corps (WCC). WCC is an employment program for young adults to gain hands-on experience in the environmental field. (WCC members are not state employees.) Records may contain: copies of contracts, program enrollment records, time accounting and personnel records, training, travel and miscellaneous records.</p>	<p>Retain for 7 years after end of employment <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03543 Rev. 3	<i>Shorelands and Environmental Assistance Water Quality 401 Certification</i> Records documenting Ecology's water quality 401 certification of federal actions in Washington State, including Department of Transportation projects, dredging of Washington waters, Army Corps of Engineers permits, and Federal Energy Regulatory Commission projects which are not dams. (Water Quality Certifications for dam projects are covered by Water Quality Permits, 50-Year Federal Certification #11-12-63653.) Records may include: correspondence, water quality modifications, public notices and comments, reports and decisions.	Retain for 7 years after end of action or project closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



8. SPILL PREVENTION, PREPAREDNESS AND RESPONSE PROGRAM (SPPR) – Office 800

This section covers agency-unique records related to prevention of oil spills to Washington's waters and land, as well as planning for an effective response to oil and hazardous substance spills wherever they occur.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62675 Rev. 0	<i>Spill Cleanup Companies List</i> Records documenting the process to create Ecology's list of approved cleanup companies. Records include applications, reviews, acceptance letters, correspondence and final list of contractors.	Retain for 6 years after end of list cycle <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
91-06-47862 Rev. 2	<i>Spill Cleanup Company Agreements</i> Records documenting the administration of contracts for private companies to conduct spill cleanup activities on behalf of Ecology. Records include contracts and renewals, documentation of work performed, payments, and correspondence. Also includes site information which details location and type of spill, who responded and whether or not a Potentially Responsible Party (PRP) can be determined. REF. 70.105D.	Retain for 6 years after end of agreement <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-03-50011 Rev. 2	<i>Spill Contingency Plans</i> Records documenting spill preparedness contingency plans for regulated facilities. Records include site specific prevention plan submittal, review and approval, correspondence, drills and evaluations, monitoring and follow up actions. REF. RCW 90.48, RCW 90.56, RCW 88.44, and WAC 173-303, WAC 173-340.	Retain for 6 years after superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62674 Rev. 1	<i>Spill Prevention Operator Manuals and Prevention Plans for Facilities and Vessels</i> Records documenting Operator Manuals and Prevention Plans for regulated facilities and vessels in Washington. Records include manual submittal, review and approval, correspondence, safe and effective threshold determinations, training certifications, inspections and audits. Primary records are in paper format but the Marine Information System (MIS) provides electronic access to information. Excludes records covered by Spill Prevention Vessel Inspections (DAN 12-06-68259).	Retain for 6 years after life of facility/vessel <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-06-68259 Rev. 0	<i>Spill Prevention Vessel Inspections</i> Records documenting the inspection of vessels entering Washington waters for the purpose of spill prevention. Records may include: preliminary boarding report and checklists, copies of ship certifications, inspection report, and correspondence.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



9. TOXICS CLEANUP PROGRAM (TCP) – Office 440

This section covers agency-unique records related to getting contaminants out of the environment, keeping them out and continuing to work towards supporting sustainable communities and economic development, including sediment management and underground storage tanks.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50762 Rev. 2	<i>Toxics Cleanup of Contaminated Sites, Voluntary Cleanup Management</i> Records documenting the voluntary, nonbinding cleanup of contaminated sites on uplands and aquatic lands, and Leaking Underground Storage Tanks (LUST) across the state of Washington. Records may include: correspondence, data, and reports for all phases of investigation and remediation, feasibility study, remedial design, remedial actions, community relations, contractor and subcontractor contracts, performance evaluations, bid assessments and site inspection/investigation documentation and site hazardous assessment and ranking.	Retain for 10 years after cleanup completed or no further action <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
91-02-47404 Rev. 2	<i>Toxics Cleanup Program Sediment Management, Non-Contaminated</i> Records documenting the management of sediments dredged from Washington aquatic lands that are not contaminated. (Records on contaminated sediment projects are managed as site files under 92-03-50010.) Records may include: data, review of data, contamination determinations, monitoring information, site determinations, liable party determinations, and No Further Action (NFA) letter.	Retain for 6 years after cleanup completed or no further action <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-03-50010 Rev. 4	Toxics Cleanup Program Site Files, Upland and Aquatic Records documenting the formal investigation and cleanup of contaminated sites on uplands and aquatic lands, including Leaking Underground Storage Tanks (LUST) and contaminated sediment dredged from aquatic lands across the state of Washington. Records may include: correspondence, data, reports for all phases of investigation and remediation, feasibility study, remedial design, remedial actions, enforcement, community relations, contractor and subcontractor contracts, performance evaluations, bid assessments and site inspection/investigation documentation, site hazardous assessment and ranking and legally binding agreements.	Retain for 10 years after cleanup completed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
90-08-46502 Rev. 2	Toxics Cleanup Program Underground Storage Tank Management Records documenting the management of underground storage tanks (UST's) in Washington for leak prevention in tanks 1,000 gallons or larger. Records may include registrations, inspections, engineering plans and specifications. RCW 90.76, WAC 173-360. REF. RCW 90.76, WAC 173-360.	Retain for 10 years after life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



10. WASTE 2 RESOURCES (W2R) – Office 450

This section covers agency-unique records related to the amount and the effects of wastes generated in Washington State, including the oversight of specific industrial sites.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-03-68226 Rev. 0	Waste 2 Resources Anaerobic Digester Monitoring and Compliance Records documenting anaerobic digesters in the state of Washington. Anaerobic digesters are the processing of manure on a farm to convert it to energy and fertilizer. Records may include: notice of intent, inspection, reporting, monitoring, compliance and enforcement.	Retain for 20 years after life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-03-68227 Rev. 0	Waste 2 Resources Biosolid Permit Implementation Records documenting the implementation of Biosolids General Permits which set forth the conditions under which the byproducts of wastewater treatment are converted to fertilizer and applied to the land. Records may include: request for coverage by permit, review, letter of coverage, reporting, tracking and compliance.	Retain for 20 years after end of coverage <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
75-05-10807 Rev. 2	Waste 2 Resources Local Solid and Hazardous Waste Management Plans Records documenting the development of and Ecology's review and acceptance of Local Solid and Hazardous Waste Management Plans which govern how local governments will manage solid and hazardous waste within their jurisdictions. Records may contain: correspondence, plans, resolutions, ordinances and public participation information.	Retain for 6 years after end of plan <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90-08-46519 Rev. 2	Waste 2 Resources Petitions for Variance to Solid Waste Regulations Records documenting Ecology's review and approval of local government requests for Variance to the Solid Waste Management regulations. Records may include: correspondence, reviews, studies, and final Variance documents.	Retain for 15 years after end of variance <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-03-68228 Rev. 0	Waste 2 Resources Products Stewardship Records documenting a manufacturer's registration of certain products to pay for special collection and disposal, such as electronics, mercury light bulbs or carpet. Records may include: registrations, billings, compliance and enforcement.	Retain for 6 years after end of billing cycle <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
90-08-46504 Rev. 2	Waste 2 Resources Solid Waste Incinerator and Landfill Operator Certification Records documenting the testing and certification of solid waste incinerator and land fill operators. Records may include: requests, test scores, certification, recertification, copies of payments and revocations. RCW 70.95D and WAC 173.302	Retain for 6 years after end of certification cycle <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
77-03-18712 Rev. 4	Waste 2 Resources Solid Waste Permits Records documenting Ecology's review and approval of Municipal Solid Waste Permits granted by local government for facilities handling the final disposal of solid waste, such as landfills, energy recovery and incineration facilities, and composting facilities. Records may include: correspondence, permits, inspection reports and monitoring.	Retain for 15 years after end of permit or life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-03-68229 Rev. 0	Waste 2 Resources Transporting Recyclables Registration Records documenting the process to ensure that commercial recyclables get recycled instead of to landfills. Records may include: registration/notification, inspection, and Registered Trucking Company list.	Retain for 6 years after notice of withdrawal <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



11. WATER QUALITY PROGRAM (WQ) – Office 525

This section covers agency-unique records related to protecting and restoring Washington's waters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-11-49377 Rev. 2	<i>Water Quality and State Forest Practices Act</i> Records documenting Ecology's water quality work with the State Forest Practices Act and Forest Practices Board. (The Act and the Board are administered by the Department of Natural Resources; Ecology has a required seat on the Board.) Records may include correspondence, forest practices rules and policy development or reviews, and Ecology's approval of each, technical reports, research and monitoring information. Ref. WAC173-202 and RCW 90.48 and 76.09.	Retain for 10 years after rule or policy adopted <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
11-12-63652 Rev. 0	<i>Water Quality and State Forest Practices Application Compliance and Technical Assistance</i> Records documenting Ecology's water quality review of selected State Forest Practices Applications and special projects as needed by the Department of Natural Resources. Records may include field notes, inspection reports and monitoring. Note: Records are submitted to DNR through the Forest Practices Application System and DNR manages the full official record.	Retain for 6 years after end of application period <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
91-11-49375 Rev. 1	<i>Water Quality Consulting and Technical Assistance</i> Records documenting consulting and technical assistance for water quality standards, policies, permit boiler plates and quality assurance guidance procedures for permit managers. Records may contain: correspondence and technical memoranda, Ref. RCW 90.48 and WAC 173-216, 220. (Records documenting compliance and technical assistance for Forest Practices Applications are kept under a separate DAN.)	Retain for 5 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-12-33654 Rev. 0	Water Quality General Permit Development Records documenting the development of Water Quality General Permits which regulate the point source discharges of waste water or stormwater to waters of the state Examples of General Permits include but are not limited to: Aquatic Invasive Species Management, Aquatic Mosquito Control, Aquatic Noxious Weed Control, Aquatic Plant and Algae Management, Boatyards, Concentrated Animal Feeding Operation (CAFO), Construction Stormwater, Fresh Fruit Packing, Industrial Stormwater, Irrigation System Aquatic Weed Control, Municipal Phase I and Phase II Permits, Sand and Gravel, Stormwater, Upland Fin-Fish Hatching and Rearing, Water Treatment Plants, or WSDOT Municipal Stormwater. Records may include public notices, significant drafts of permits and final permits, public comments and response to comments, meeting notes and minutes, and correspondence.	Retain for 20 years after new permit issued <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-12-63655 Rev. 0	Water Quality General Permit Management, Permittees and Facilities Records documenting the implementation of Water Quality General Permits which regulate the point source discharges of waste water or stormwater to waters of the state. Examples of General Permits include but are not limited to: Aquatic Invasive Species Management, Aquatic Mosquito Control, Aquatic Noxious Weed Control, Aquatic Plant and Algae Management, Boatyards, Concentrated Animal Feeding Operation (CAFO), Construction Stormwater, Fresh Fruit Packing, Industrial Stormwater, Irrigation System Aquatic Weed Control, Municipal Phase I and Phase II Permits, Sand and Gravel, Stormwater, Upland Fin-Fish Hatching and Rearing, Water Treatment Plants, or WSDOT Municipal Stormwater. Records may include Notice of Intent, public notices, applications, response to applications, coverage letters, Discharge Monitoring Reports (DMRs), correspondence, enforcement, compliance, inspections, audits, and notices of termination.	Retain for 20 years after termination of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-01-26782 Rev. 3	<i>Water Quality Grants, Loans and Contracts</i> Records documenting all grants, contracts and loans for the Water Quality Program, such as: Federal 201(G) Wastewater Construction, State Wastewater Construction - Centennial Clean Water Fund (RCWs 43.83A, 43.99F & 70.146, WACs 173-80 & 173-255,) State Revolving Fund (SRF) (RCW 90.50A & WAC 173-98,) Clean Water Act (CWA) Section 319(H) Nonpoint Source (Section 319(h) of CWA, 40 CFR part 31 & part 35, & WAC 173-95A,) Freshwater Aquatic Weeds & Grants, Stormwater Management Implementation Grants, Local Government Stormwater Grants, Reclaimed Water Grants, FY 2010-2011 Municipal Stormwater Grants, Stormwater Retrofit and LID Grants (RCWs 43.83A, 43.99F, 70.146, 90.46, 90.48, WACs 173-80 & 173-255,) and any other water quality grants and loans that may be created in the future. Records include: grant, contract and loan agreements, change orders, payment requests, engineering agreements, operation and maintenance (O&M) agreements, applications, correspondence, certification, plans and specifications, facility plans, engineering reports, O&M manuals, inspection reports, invoices, supporting documentation progress reports, final reports, maps, brochures, audits, public communication and education material.	Retain for 20 years after project completed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-12-63656 Rev. 0	Water Quality Individual Permits Records documenting the issuance of individual Water Quality permits, which include: individual National Pollution Discharge Elimination System (NPDES) Permits issued to facilities that discharge to surface water such as lakes, rivers, and streams and individual State Waste Discharge Permits issued to facilities that discharge to the ground or to a municipal wastewater treatment plant. Individual permits are tailored to specific facilities and their operations at specific sites to ensure wastewater discharged meets Washington State Water Quality Standards. Records may include applications, application review and acceptance, public notices, comments and response to comments, significant drafts and final permits issued, Fact Sheets, correspondence and approval processing and appeal documentation, if applicable.	Retain for 20 years after termination of permit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
11-12-63653 Rev. 0	Water Quality Permits, 50-Year Federal Certification Records documenting Water Quality Certification of Federal Energy Regulatory Commission (FERC) 50-year 401 Permits. 401 permits are state permits on federal actions issued for the operation of a dam and Ecology certifies that the dam is meeting Washington State Water Quality Standards. Records may include applications, reviews, significant drafts and final permits, correspondence, studies, if completed, water quality modifications, Ecology comments to public notices, and permit denials.	Retain for 60 years after certification <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-03-50006 Rev. 2	Water Quality Total Maximum Daily Load (TMDL) Study Implementation Records documenting Total Maximum Daily Load (TMDL) water quality standards. TMDLs are a water quality improvement project process established by the Clean Water Act (CWA) to set limits on pollutants that can be discharged to the waterbody and still allow state standards to be met. Records may include: technical data and policy, technical guidelines manual, research data and analysis for multiple projects. (This work is done in conjunction with studies completed by the Environmental Assessment Program under #91-06-47877.)	Retain for 25 years after superseded or project completed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
11-12-63657 Rev. 0	Water Quality Underground Injection Control (UIC) Implementation, Decommissioning Records documenting the decommissioning of Underground Injection Control (UIC) systems. UIC wells are manmade structures used to discharge fluids into the subsurface. Records include notifications, closure forms, reviews, sample testing and possibly cleanup activities, monitoring and enforcement.	Retain for 10 years after project completed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
11-12-63658 Rev. 0	Water Quality Underground Injection Control (UIC) Implementation, Registration Records documenting the registration of Underground Injection Control (UIC) systems. UIC wells are manmade structures used to discharge fluids into the subsurface. Some UICs may also have a Water Quality Permit. Records include registration forms and reviews.	Retain for 10 years after registered <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-12-63659 Rev. 0	Water Quality Wastewater Pretreatment Delegated Authority for Service Area Records documenting the management of programs delegated with approval authority to administer pretreatment of discharged wastewater within their service area. Records primarily include technical assistance, correspondence, program audit and reviews, and correction actions if necessary.	Retain for 20 years after end of program plan <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
11-12-63660 Rev. 0	Water Quality Wastewater Treatment Operator Certification Records documenting the certification of operators for wastewater treatment. Records may include applications, application review, testing, copies of annual invoices and payments, renewals and level of certification.	Retain for 6 years after end of certification <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



12. WATER RESOURCES PROGRAM (WR) – Office 530

This section covers agency-unique records related to managing water resources to meet the current and future needs of the natural environment and Washington's communities, including the Office of the Columbia River.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03522 Rev. 3	<i>Water Resources and Bureau of Reclamation Dam Projects</i> Records documenting Ecology's work with the Bureau of Reclamation regarding all non-appropriated water upstream of a federal dam project. Records may contain: water right analysis, extensions, public notices, and final decisions.	Retain for 6 years after end of project <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
91-08-48066 Rev. 1	<i>Water Resources Dam Safety Facility Files</i> Records documenting the review, approval and monitoring of dams constructed in the state for public safety. Records may contain: construction plans, specifications, inspections, construction inspection fees, correspondence, engineering design reports, analysis, and photos. Emergency action plans and operation and maintenance plans may be discarded when completely superseded under DAN 91-08-48072.	Retain for 20 years after life of facility <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-06-68260 Rev. 0	<i>Water Resources Dam Safety Non-Facility Files</i> Records documenting dams or other impoundments not subject to regulation by the Dam Safety Office. Records may contain: field notes, engineering drawings, photographs, maps and correspondence.	Retain for 12 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-08-48072 Rev. 1	Water Resources Dam Safety Plans Records documenting Emergency Plans and Operation and Maintenance Plans to ensure dam safety for each dam in the state. Records may include: review, approval and final plans.	Retain for 6 years after plan superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-06-68261 Rev. 0	Water Resources Historical Water Agreements Records documenting water agreements of a historical nature, such as lake level agreements or interstate agreements. Records may include: court orders, negotiations, final agreements, correspondence, implementation and tracking.	Retain for 6 years after superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
87-02-39355 Rev. 3	Water Resources Hydropower Licensing Records documenting Ecology's licensing of proposed construction and expansion of hydro power projects in the state. Projects may be regulated by the Federal Energy Regulatory Commission (FERC) but some are not. Records may contain: correspondence, application, reviews, construction plans, facility drawings, inspection records, permits, licenses, fees and compliance.	Retain for 60 years after licensed or project cancelled <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03915 Rev. 2	Water Resources Licensing and Certification Records documenting the licensing of all well driller/operators, or certification of Water Rights Examiners, or Validation of Conservancy Boards in the state. Records may include: applications for new licenses and renewals, tests and scores, proof of continuing education credits and license numbers.	Retain for 20 years after renewed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-06-68262 Rev. 0	Water Resources Water Acquisition Records documenting the process of buying water for environmental uses or to mitigate water use. Records may include: financial agreements, letters of intent, purchase and sale agreements, negotiations, water right analysis, appraisals, closing documents such as deeds or lease agreements, and implementation.	Retain for 50 years after end of agreement or conveyance <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-06-68263 Rev. 0	Water Resources Water Banking Records documenting the process of putting water rights into a trust status so the "seller" can sell mitigation credits. Records may include: correspondence, water right analysis, negotiations, agreements, final notice and implementation.	Retain for 50 years after end of agreement or conveyance <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03973 Rev. 3	Water Resources Water Right Adjudications Records documenting the water right adjudication process in which the courts settle the rights of multiple are water right holders for surface water, ground water or both, or water systems. Records may include: pre-adjudication reviews, petitions, statements of facts, correspondence, mail receipts, investigations, field work, court orders and summons, pleadings, claims, maps, initial determinations, stipulated agreement/statement of issues, final decrees and appeal records if appealed and cost ledgers.	Retain for 50 years after final decree issued and appeal ended <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
77-03-18732 Rev. 3	Water Resources Water Right Resource Inventory Area (WRIA) or Surface Water Source Limitation Files Records documenting information unique to each water basin to track ground and surface water correspondence, historical information, and other regulatory tracking information to assist with the management of water and decision making within that basin. Records may be in the form of a Water Resource Inventory Area (WRIA) file or Surface Water Source Limitation files. Records may include: correspondence from other agencies, subject files, unique issues or studies specific to each location.	Retain for 50 years after superseded <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03977 Rev. 2	Water Resources Water Rights Records documenting all water rights in the state of Washington. Records may include: application and attachments, reports, maps, tracking numbers, public notices, review and approval, correspondence, maps or plats, receipts, public notices and comments, permits, certificates, and metering data.	Retain for 50 years after filmed or scanned <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
92-03-50009 Rev. 1	Water Resources Well Notice of Intent Records documenting a driller's intent to start the construction of a well and Ecology's review and approval. Records may include: notice of intent, receipt of fees, Ecology's review and approval (or denial) and tracking number. Records have very short life span because they can impact neighboring property owners and must be replaced by a Water Resources Well Report under DAN 77-03-18717 or they are cancelled.	Retain for 12 years after date received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
77-03-18717 Rev. 3	<i>Water Resources Well Reports (Well Logs)</i> Records documenting each well drilled in the state submitted by well drillers. Records may include: well reports (also known as well logs), inspections and correspondence.	Retain for 50 years after date received <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



LEGACY RECORDS

This section covers records relating to agency records that are no longer being generated, but have a need to be retained for the remainder of the period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
75-05-10829 Rev. 5	<i>Discharge Monitoring Reports</i> Reports from discharger of waste influent and effluent flows at permitted facilities. Contains hatchery monitoring reports, Ref. RCW 90.48 and Federal Clean Water Act. <i>Note: From Water Quality Program (WQ) – Office 525</i>	Retain for 20 years after end of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
78-05-20752 Rev. 3	<i>Engineering Report File for Major Industries</i> Includes plans, specifications, developmental material, reports, annual spill plans, emergency plans, maintenance and operations plans. <i>Note: From Waste 2 Resources (W2R) – Office 450</i>	Retain for 15 years after end of plan <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM
87-02-39354 Rev. 5	<i>Hazardous Waste/Resource Conservation and Recovery Act Correspondence</i> Documents State and Federal hazardous waste program and Resource Conservation and Recovery Act (RCRA). Contains correspondence, memos, inspections, enforcement actions, hazardous management plans, hazardous waste Part A and Part B permits, grants and regulated community files. <i>Note: From Hazardous Waste and Toxics Reduction Program (HWTR) – Office 430</i>	Retain for 30 years after end of permit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03827 Rev. 5	Industrial Major Industries/Permit File Contains air reports, NPDES (National Pollution Discharge Elimination System) reports, RCRA (Resource Conservation Recovery Act), Part A's, cleanup, correspondence, memoranda. This includes major industries specifically pulp and paper, metal reduction and oil refineries. <i>Note: From Waste 2 Resources (W2R) – Office 450</i>	Retain for 30 years after end of permit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
74-03-03924 Rev. 3	NPDES (National Pollutant Discharge Elimination System) and State Waste Discharge Permit Fee File Contains State Waste Discharge Permits, NPDES permits, cancelled permits, fee regulation development, data reports, facts sheets, applications, model permits, enforcement actions, correspondence and appeals. Ref WAC 173-224 and RCW 90.48. <i>Note: From Water Quality Program (WQ) – Office 525</i>	Retain for 20 years after termination of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
81-12-29362 Rev. 0	Referendum 38 – Agricultural Water Supply Used to document grants and long term loans relative to irrigation project development and rehabilitation. Contains correspondence, grant and loan information and contracts. REF. RCW 43.99, WAC 173-170. <i>Note: From Water Resources Program (WR) – Office 530</i>	Retain for 10 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-03-03544 Rev. 5	Water Quality File An information file consisting of reports, correspondence, enforcement and memos pertaining to facilities, locations and issues. <i>Note: From Water Quality Program (WQ) – Office 525</i>	Retain for 20 years after end of permit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Permanent Retention)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.



Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”



OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

Public Records

RCW 40.14.010 – Definition and classification of public records.

“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.



INDEXES ARCHIVAL RECORDS

See the State Government General Records Retention Schedule for additional "Archival" records.

AGENCY MANAGEMENT

Rules and Accountability	
Cost Benefit Analysis and Small Business Economic Impact Statements	6
Enforcement Dockets	6
Rule Making Docket and Semi-Annual Agendas	6

AIR QUALITY

Air Quality Agricultural Burn Authority Delegated to Counties	10
Air Quality Agricultural Burning Practices and Research Task Force	11
Air Quality Permits, Limited Term Air Operating Permits	12
Air Quality Permits, Perpetual Term	12
Air Quality Small Source Registration Program	12
Air Quality State Implementation Plans	13

ENVIRONMENTAL ASSESSMENT PROGRAM

Manchester Environmental Laboratory Radiation Safety Records	16
--	----

ENVIRONMENTAL PROGRAMS – ALL

Ecology Complaints, Response, and Enforcement Actions	7
Ecology Environmental Assessment Studies and Projects	8
Environmental Assessment Monitoring of Washington Waters and Shorelands ..	8

HAZARDOUS WASTE AND TOXICS REDUCTION

Hazardous Waste and Toxics Reduction Permits	18
Hazardous Waste and Toxics Reduction Pollution Prevention Plans	18

LEGACY RECORDS

Engineering Report File for Major Industries	43
Hazardous Waste/Resource Conservation and Recovery Act Correspondence...	43
Industrial Major Industries/Permit File	44
Water Quality File	44

NUCLEAR WASTE PROGRAM

Hanford Federal Facility Agreement and Consent Order	19
Nuclear Waste Program Hanford Site Agreements and Consent Decree Implementation	19

SHORELANDS AND ENVIRONMENTAL ASSISTANCE

Shorelands and Environmental Assistance Aerial Flight Projects	21
Shorelands and Environmental Assistance Grants and Contracts	21
Shorelands and Environmental Assistance Local Noise Ordinances	21
Shorelands and Environmental Assistance Shoreline Management Act Permits ..	22
Shorelands and Environmental Assistance Shoreline Master Programs	22
Shorelands and Environmental Assistance State Environmental Policy Act (SEPA) Register and Related Documents	23
Shorelands and Environmental Assistance Water Quality 401 Certification	24

SPILL PREVENTION, PREPAREDNESS AND RESPONSE PROGRAM

Spill Contingency Plans	25
Spill Prevention Operator Manuals and Prevention Plans for Facilities and Vessels	26

TOXICS CLEANUP PROGRAM

Toxics Cleanup of Contaminated Sites, Voluntary Cleanup Management	27
Toxics Cleanup Program Sediment Management, Non-Contaminated	27
Toxics Cleanup Program Site Files, Upland and Aquatic	28
Toxics Cleanup Program Underground Storage Tank Management	28

WASTE 2 RESOURCES

Waste 2 Resources Anaerobic Digester Monitoring and Compliance	29
Waste 2 Resources Biosolid Permit Implementation	29
Waste 2 Resources Local Solid and Hazardous Waste Management Plans	29
Waste 2 Resources Petitions for Variance to Solid Waste Regulations	30
Waste 2 Resources Solid Waste Permits	30

WATER QUALITY PROGRAM

Water Quality and State Forest Practices Act	32
Water Quality Individual Permits	35
Water Quality Permits, 50-Year Federal Certification	35
Water Quality Total Maximum Daily Load (TMDL) Study Implementation	36
Water Quality Underground Injection Control (UIC) Implementation,	



Decomissioning	36	Water Resources Hydropower Licensing	39
Registration	36	Water Resources Water Acquisition.....	40
Water Quality Wastewater Pretreatment Delegated Authority for Service Area	37	Water Resources Water Banking.....	40
WATER RESOURCES		Water Resources Water Right Adjudications	40
Water Resources and Bureau of Reclamation Dam Projects	38	Water Resources Water Right Resource Inventory Area (WRIA) or Surface Water Source Limitation Files	41
Water Resources Dam Safety Facility Files.....	38	Water Resources Water Rights.....	41
Water Resources Dam Safety Non-Facility Files	38	Water Resources Well Reports (Well Logs)	42
Water Resources Historical Water Agreements.....	39		



INDEX: ESSENTIAL RECORDS

See the State Government General Records Retention Schedule for additional "Essential" records.

(As of September 2012 – Ecology has not completed its Essential Records Designations)



INDEX: DISPOSITION AUTHORITY NUMBERS (DAN'S)

10-09-62317..... 6	12-03-68227..... 29	74-03-03953..... 5	91-06-47862..... 25
10-09-62318..... 6	12-03-68228..... 30	74-03-03973..... 40	91-06-47865..... 14
11-08-62674..... 26	12-03-68229..... 31	74-03-03977..... 41	91-06-47866..... 14
11-08-62675..... 25	12-06-68254..... 11	75-05-10807..... 29	91-06-47880..... 15
11-08-62676..... 17	12-06-68255..... 11	75-05-10829..... 43	91-08-48066..... 38
11-08-62678..... 7	12-06-68256..... 11	77-03-18712..... 30	91-08-48072..... 39
11-08-62679..... 8	12-06-68257..... 12	77-03-18717..... 42	91-09-48122..... 19
11-08-62680..... 8	12-06-68258..... 12	77-03-18732..... 41	91-11-49375..... 32
11-08-62681..... 15	12-06-68259..... 26	78-05-20752..... 43	91-11-49377..... 32
11-08-62682..... 9	12-06-68260..... 38	80-10-26100..... 21	92-01-49692..... 10
11-08-62683..... 16	12-06-68261..... 39	80-10-26104..... 18	92-03-49959..... 18
11-12-33654..... 33	12-06-68262..... 40	81-01-26782..... 34	92-03-50006..... 36
11-12-63652..... 32	12-06-68263..... 40	81-12-29362..... 44	92-03-50009..... 41
11-12-63653..... 35	12-09-68295..... 19	86-01-35944..... 23	92-03-50010..... 28
11-12-63655..... 33	74-03-03522..... 38	87-02-39354..... 43	92-03-50011..... 25
11-12-63656..... 35	74-03-03543..... 24	87-02-39355..... 39	92-03-50013..... 23
11-12-63657..... 36	74-03-03544..... 44	88-03-41887..... 7	92-06-50756..... 12
11-12-63658..... 36	74-03-03821..... 6	90-08-46502..... 28	92-06-50759..... 10
11-12-63659..... 37	74-03-03827..... 44	90-08-46504..... 30	92-06-50762..... 27
11-12-63660..... 37	74-03-03883..... 22	90-08-46508..... 17	92-12-51705..... 5
12-03-68222..... 20	74-03-03895..... 11	90-08-46509..... 17	92-12-51709..... 5
12-03-68223..... 20	74-03-03914..... 22	90-08-46516..... 7	93-01-51921..... 9
12-03-68224..... 21	74-03-03915..... 39	90-08-46519..... 30	96-04-56624..... 10
12-03-68225..... 21	74-03-03924..... 44	91-02-47404..... 27	98-11-58963..... 8
12-03-68226..... 29	74-03-03943..... 15	91-03-47446..... 13	



INDEX: SUBJECTS

Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.

A

administrative subject files *see also SGGRRS*
aerial photography (shorelands) 21
agricultural
 burning permits 10
 water 44
air pollution 11, 12
Air Pollution Control Authorities 10
anaerobic digesters 29
aquatic lands (contaminated sites cleanup) 28
asset management *see SGGRRS*
audits *see SGGRRS*

B

biosolids (permits) 29
budgeting *see also SGGRRS*
Bureau of Reclamation Water Withdrawal 38
burning permits 10

C

carpet (special collection/disposal) 30
Clean Air Act (compliance) 13
cleanups (contaminated sites) 5
 voluntary 27

Coastal Protection-Terry Husseman Account
 (contracts/grants) 21
coastal zone management (contracts/grants) 21
Columbia River Basin 38
complaints *see also SGGRRS*
 air quality 12
 environmental programs 7
consulting 9
 water quality 32
contingency plans (spills) 25
contracts *see also SGGRRS*
 payment working files 5
 shorelands/environmental assistance 21
 water quality 34
cost benefit analysis (rulemaking) 6

D

dams
 construction/inventories 38, 39
 hydro power projects 39
discharge monitoring reports 43

E

electronics (special collection/disposal) 30
Emergency Planning and Community
 Right-To-Know Act (EPCRA) 17
emissions 11, 12

enforcement 7
 air quality 12
 dockets 6
engineering reports (major industries) 43
environmental laboratories (accreditation) 14
Environmental Protection Agency (EPA)
 performance partnership agreements 7
Environmental Response Tracking System (ERTS) 7
executive level records *see SGGRRS*

F

facilities
 agency *see SGGRRS*
 municipal/commercial/industrial (air quality) 12
fees (hazardous waste) 8
financial records *see SGGRRS*
fire training burning permits 10
Forest Practices Board 32

G

general office operations *see SGGRRS*
Governor's Office of Regulatory Assistance 20
grants *see also SGGRRS*
 payment working files 5
 shorelands/environmental assistance 21
 water quality 34
grievances *see SGGRRS*



Growth Management Hearings Board 22

H

Hanford Nuclear Reservation..... 19
hatchery monitoring reports 43
hazardous waste
 fees (generators/planners) 8
 local source control 17
 management plans 29
 Manchester Environmental Laboratory 15
 permits 18
 prevention plans..... 18
 reporting..... 17
human resources management *see SGGRRS*
hydro power projects..... 39

I

incidents..... 7
incinerators (testing/certification)..... 30
information systems *see SGGRRS*
inspections (air quality)..... 12
instrument files
 Manchester Environmental Laboratory 15

L

laboratories (accreditation) 14
landfill (testing/certification) 30
leave..... *see SGGRRS*

legal affairs..... *see SGGRRS*
light bulbs (special collection/disposal) 30
loans (water quality) 34
local source control (hazardous waste) 17
log books (Manchester Environmental Laboratory) 15

M

mail services..... *see SGGRRS*
major industries
 engineering reports 43
 permit files..... 44
Manchester Environmental Laboratory
 hazardous waste..... 15
 instrument files/log books..... 15
 plans/manuals 9
 project files/reports..... 15
 radiation safety..... 16
manuals (Manchester Environmental Laboratory) ... 9
manure (conversion to energy/fertilizer) 29
meetings *see SGGRRS*
mercury (special collection/disposal) 30
motor vehicles
 agency..... *see SGGRRS*

N

noise ordinances 21
notices of violations 6

P

parking services *see SGGRRS*
payroll *see SGGRRS*
penalties
 enforcement dockets 6
 fiscal records..... 5
permits
 air quality..... 12
 biosolids..... 29
 hazardous waste..... 18
 Shoreline Management Act..... 22
 solid waste..... 30
 water quality..... 33, 35
planning
 Manchester Environmental Laboratory 9
 spill prevention 26
policies/procedures *see also SGGRRS*
pollution (air) 11, 12
Pollution Control Hearings Board 6
prevention plans (hazardous waste)..... 18
projects
 environmental assessment..... 8
 Manchester Environmental Laboratory 15
public disclosure *see SGGRRS*
public records requests..... *see SGGRRS*
publications..... *see SGGRRS*

Q

quality assurance management plans 14



R

radiation safety (environmental laboratories).....	16
records management.....	<i>see SGGRRS</i>
recyclables (transportation).....	31
reporting	
hazardous waste.....	17
Resource Conservation and Recovery Act	43
response (incidents).....	7
risk management	<i>see SGGRRS</i>
rulemaking	6, <i>see also SGGRRS</i>
rules development agendas (rulemaking)	6

S

security.....	<i>see SGGRRS</i>
sediment (non-contaminated).....	27
shorelands	
aerial photography	21
monitoring.....	8
Shoreline Hearings Board	22
Shoreline Management Act	
contracts/grants	21
permits	22
shoreline master programs.....	22
small business economic impact statements	
(rulemaking)	6
smoke control	10
solid waste	

management plans	29
permits	30
regulations (variances)	30
spills (cleanup companies/contingency plans)	25
spills prevention (vessel inspections)	26
State Environmental Policy Act (SEPA)	23
State Forest Practices Act	32
state forest practices applications.....	32
studies (environmental assessment)	8
superfund sites (cleanup)	5

T

technical assistance	9
water quality.....	32
telecommunications	<i>see SGGRRS</i>
timesheets	<i>see SGGRRS</i>
total maximum daily load (TMDL) (water quality) ..	36
training.....	<i>see SGGRRS</i>
transitory records	<i>see SGGRRS</i>
travel	<i>see SGGRRS</i>

U

underground injection control.....	36
underground storage tanks	28
leaking sites (cleanup)	5
uplands (contaminated sites cleanup)	28

V

variances (solid waste regulations).....	30
vehicle management.....	<i>see SGGRRS</i>
voluntary cleanup (contaminated sites)	27

W

Washington Conservation Corps	23
wastewater treatment.....	37
water monitoring	8
water quality	44
401 certification.....	24
contracts/grants/loans	34
permits	33, 35
water rights	
adjudications	40
applications/claims.....	41
resource inventory areas.....	41
water wells.....	39, 41, 42
Watershed Planning Act (contracts/grants)	21
wells	
logs	42
wood smoke control	10

Y

Yakima River Basin	38
--------------------------	----